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NAVAL AIR SYSTEMS COMMAND
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IN REPLY REFER TO

NAVAIRINST 4200.25D

AIR-4.1C
20 Jun 02

NAVAIR INSTRUCTION 4200.25D

From: Commander, Naval Air Systems Command

Subj: MANAGEMENT OF CRITICAL APPLICATION ITEMS INCLUDING CRITICAL SAFETY ITEMS

Ref: (a) DoD 4140.1-R, Section C6.5, Material Management, DoD Flight Safety Critical Aircraft Part (FSCAP) Program
(b) ANSI Y14.100, Engineering Drawing Practices
(c) ANSI Y14.24, Types and Applications Of Engineering Drawings
(d) ANSI Y14.35M, Revision of Engineering Drawings
(e) ANSI Y14.34M, Associated Lists
(f) DoD-STD-2101, Classification of Characteristics
(g) DFARS Appendix E, DoD Spare Parts Breakout Program
(h) DFARS 208.70, Coordinated Acquisition
(i) FAR 46, Quality Assurance
(j) DFARS 246, Quality Assurance
(k) DFARS 217.7503, Acquisition of Parts When Data Is Not Available
(l) SECNAVINST 4855.5B, Product Quality Deficiency Report Program
(m) NAVAIR 00-25-300, Naval Air Systems Command Technical Directive System
(n) DUSD(L) Memo of Feb 16, 2000, Mutilation of Flight Safety Critical Aircraft Parts (FSCAP) at the Defense Reutilization and Marketing Offices (DRMOs)
(o) NAVAIR Alternate Source Qualification Desktop Guide of 7 April 1999
(p) OPNAVINST 4790.2, Naval Aviation Maintenance Program (NAMP)
(q) DLAI 3200.1, PAM 715-13, NAVSUPINST 4120.30A, AFI 21-405, MCO 4000.46, Engineering Support For Items Supplied By Defense Logistics Agency and General Services Administration, dated 31 Oct 94
(r) NAVAIRINST 5600.14D, Submission of Government Prepared Engineering Drawings to Naval Air Systems Command Drawing Repository Files, dated 20 Sep 1989
(s) NAVAIRINST 4330.9B, Review and Acceptance of Technical Data Packages to be Utilized in Acquisition or Product Support, dated 23 Feb 1988
(t) FAA AC 20-142, Eligibility and Evaluation of U.S. Military Surplus Flight Safety Critical Aircraft Parts, Engines, and Propellers

Encl: (1) Definitions
(2) Samples for One-Time Manufacturing Approval

1. Purpose. To establish policy, procedures, and assign responsibilities for the life-cycle management of replenishment items critical to naval aviation safety; and to implement the Department of Defense (DoD) Flight Safety Critical Aircraft Part (FSCAP) program as

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established by reference (a). This instruction addresses requirements governing the initial determination of item criticality and subsequent changes to this determination; coding and tracking of Critical Application Items (CAIs) (including Critical Safety Items (CSIs)); the process for ensuring the adequacy of technical data and proposed changes; the process for approving sources of supply and repair/overhaul; the surveillance process assuring that approved sources retain required capabilities; authorities for one-time organic manufacture of CAIs (including CSIs) under exigent circumstances; and requirements for disposing of CAIs (including CSIs) when no longer needed by naval aviation.

2. Cancellation. This instruction supersedes NAVAIRINST 4200.25C of 3 September 1999 and NAVAIRINST 4790.31 of 30 September 1993. Since this is a major revision, changes are not indicated. It supplements and amplifies the references for technical and acquisition management of critical naval aviation parts.

3. Scope

a. This instruction applies to the Naval Air Systems Command (NAVAIR), the Program Executive Officers (PEOs), the Naval Inventory Control Point (NAVICP), and commercial entities (Contractor Logistics Support (CLS), Industrial Prime Vendor (IPV), Virtual Prime Vendor (VPV), Virtual Secondary Vendor (VSV), etc.) providing procurement or repairing/overhauling services to critical naval aviation material. It covers CAIs (including CSIs) used in fixed and rotary wing naval aircraft, unmanned air vehicles, Aircraft Launch and Recovery Equipment (ALRE), NAVAIR supported weapons and equipment, and associated support equipment.

b. NAVAIR, NAVICP, and DLA have developed a Memorandum of Agreement (MOA) governing source approval, quality assurance, and technical data requirements for ALRE material, covering all Defense Logistics Agency (DLA) Weapon System Designator Code 82N items procured to NAVAIR CAGE codes 80020 and/or 30003 drawings. The MOA is on-file in the Prototyping and Manufacturing Division (AIR-4.8.13), NAVICP-073, and DLA-J-334. For the procurement of ALRE items covered by the MOA, where a conflict exists between this instruction and the MOA, the requirements of the MOA shall take precedence over this instruction.

c. This instruction does not apply to commercial aircraft or subsystems purchased and maintained following Federal Aviation Administration (FAA) regulations, unless specifically required by the NAVAIR Basic Design Engineer (BDE). This instruction does apply to those portions of commercial aircraft or subsystems modified or maintained to meet unique military requirements.

4. Background

a. Various and inconsistent terms and processes have historically been used by different organizations to describe requirements for items critical to naval aviation. This created unacceptable opportunities for confusion and error. This instruction standardizes the terminology, definitions, and management requirements across NAVAIR and other key

organizations involved in acquiring, repairing/overhauling, or supporting naval aviation systems and equipment. The term CAI is used to describe items and equipment that have serious safety implications, can impact system performance or mission capability, can significantly reduce fleet readiness or increase maintenance actions, or can cause severe environmental damage. The term CSI is used to describe a subset of CAIs that, if they failed, have the potential for catastrophic or critical consequences to personnel or equipment. The determining factor in CSIs is the consequence of failure, not the probability that the failure or the consequence would occur. Although CSIs are a subset of CAIs, in this instruction the terms are sometimes used together and sometimes separately. This is to ensure that it is clear when the policies and responsibilities apply to all CAIs and when they are unique to CSIs.

b. Several organizations have significant responsibilities with respect to naval aviation CAIs (including CSIs). Because of this, clear and consistent terminology, policies, and operating practices are required to ensure effective life-cycle management of these items. NAVAIR performs research, design, engineering, test, evaluation, acquisition, training, repair/overhaul, and logistics support of naval aviation systems and equipment. The NAVAIR Research and Engineering Group (AIR-4.0) is responsible for providing the engineering policies, processes, and support necessary to ensure design integrity and airworthiness throughout the life cycle of naval aviation systems and equipment. As such, AIR-4.0 is responsible for policies governing CAIs (including CSIs) and is the Engineering Support Activity (ESA) for CAIs (including CSIs). AIR-4.0 has delegated selected engineering and technical responsibilities to NAVICP for items other than CSIs. For the purpose of complying with reference (a) that uses the terms "FSCAP" and "Aircraft Airworthiness Authority", AIR-4.0 is the "Aircraft Airworthiness Authority" for FSCAPs. NAVICP procures, manages, and contracts for the repair/overhaul of reparable replenishment naval aviation items, and procures and manages certain specific consumable items. NAVICP is the focal point for receiving and distributing all requests for engineering support and provides final resolution of selected engineering and technical concerns for naval aviation items. DLA procures, manages, and disposes of consumable replenishment items for naval aviation systems and equipment.

5. Definitions. Specific definitions for terms used throughout this instruction are in enclosure (1). Wherever possible, existing terminology and definitions have been retained.

6. Policy

a. Criticality Determinations and Identification:

(1) Criticality determinations for each new replenishment item shall be established by the cognizant NAVAIR BDE prior to initial supportability analysis to allow adequate support planning for CAIs (including CSIs). During initial provisioning or approval of a design change notice, NAVICP shall validate that the criticality determination has been accomplished and is accurately documented. The Integrated Material Manager (IMM) shall ensure the criticality determination (CAI or CSI) is recorded in all appropriate databases.

(2) Items shall be treated as CSIs when identified as "life limited", "fatigue sensitive", "fracture critical", "engineering critical", having at least one critical characteristic in the

technical data, identified in a contractor's "critical parts list", or included in an engine manufacturer's tracking system, or as otherwise determined by the NAVAIR BDE. Only the NAVAIR BDE has authority to determine otherwise.

(3) All CSIs shall additionally be considered to be FSCAP following reference (a). AIR-4.0 will be the "Aircraft Airworthiness Authority" for these items. The CSIs shall be identified as FSCAP with the applicable criticality code in the Federal Logistics Information System (FLIS) by the IMM having management responsibility for the item. CSIs not currently identified as FSCAP in the FLIS shall additionally be recorded as such.

(4) Drawings and associated technical data for new replenishment items shall clearly identify that the item is CAI or CSI. Drawings and technical data shall identify the critical and major characteristics, critical processes, and inspection and other quality assurance requirements. Drawing practices for CAIs (including CSIs) shall follow references (b) through (e). Critical and major characteristics for CAIs (including CSIs) shall be established following reference (f) and shall clearly be identified on the drawings and associated documentation.

(5) Where legacy drawings for CAIs (including CSIs) do not clearly identify the item's criticality or the critical characteristics and processes, the NAVAIR cognizant BDE shall determine whether and when it is necessary to update the technical documentation or whether there are sufficient other protections in place to assure procurement or repair/overhaul of the item in an appropriate manner (e.g., the item is purchased only from the prime contractor or Original Equipment Manufacturer (OEM)).

(6) Items determined to be CAIs (including CSIs) shall be identified as such to the Assistant Program Manager, Logistics (APML) or designated logistics manager for inclusion in the supportability analysis candidate listing to ensure adequate support planning. Additions to the initial list of CAIs (including CSIs) shall also be provided to the APML or logistics manager as changes occur throughout the life cycle of the equipment.

(7) All CAIs (including CSIs) shall be documented, by Part Number (P/N), in the maintenance plan. CAIs other than CSIs shall be identified using Special Maintenance Item Code (SMIC) of "H" or "J" and a Criticality Code (CC) of "Y". CSIs shall be identified using a SMIC of "H" or "J", and a CC of "F" or "E". All non-CAIs shall be identified with a CC of "X".

(8) Approved sources of supply or repair/overhaul shall be identified or confirmed for each CAI (including CSI) when the criticality determination is established or as soon afterwards as practical.

(9) Acquisition Method Code (AMC)/Acquisition Method Suffix Codes (AMSC) codes of 1G or 2G (i.e., a part is a candidate for full and open competition) shall not be used for CSIs.

(10) The cognizant NAVAIR BDE shall approve any proposed change to AMC/AMSC assignments from a restrictive code to a less restrictive code for CSIs.

(11) Criticality determinations for existing CSIs shall be revalidated by NAVAIR whenever there are changes to the item's configuration, manufacturing or repair/overhaul processes, or sources of supply or repair/overhaul, or when there is a request for waiver or deviation. Criticality determinations for existing CAIs shall be revalidated by NAVICP when there are comparable Class II Engineering Change Proposals (ECP) or requests for minor waivers or deviations to a CAI.

(12) Reparable CAIs (including CSIs) shall have serial numbers on the item and on the packaging following reference (a), unless determined otherwise by the cognizant BDE. When impractical to establish serial numbers on the item itself, reparable CAIs (including CSIs) shall have distinguishable marking schemes approved by the BDE. The technical documentation shall reflect the appropriate marking scheme.

(13) Consumable CSIs shall have serial numbers, contractor cage codes, or distinguishable marking schemes when required by technical documentation following reference (a). When not required by technical documentation, consumable CSIs shall have serial numbers, contractor cage codes, or distinguishable marking schemes where practical as determined by the BDE and communicated to the procuring activity.

b. Sourcing

(1) CSIs shall be purchased or repaired/overhauled only from sources approved by the BDE. Unless withheld, NAVICP is authorized to approve sources of supply or repair/purchase for non-CSIs. Unless otherwise established by AIR-4.0, approved sources includes:

(a) the prime contractor;

(b) the actual manufacturer (i.e. OEM) that supplies the CAIs (including CSIs) to the prime contractor where the BDE determines the prime contractor provides no "value added" to the item that couldn't be performed by the government. NAVICP shall provide assistance to the BDE in assessing "value added" for CSIs and is delegated authority to approve actual manufacturers for CAIs other than CSIs;

(c) fully-licensed manufacturers of the prime contractor or of the OEM that provide substantiation of their licensing arrangement, as validated by and acceptable to the BDE. NAVICP is delegated authority to approve fully-licensed manufacturers for CAIs other than CSIs;

(d) fully-licensed repair/overhaul facilities of the prime contractor or of the OEM that provide substantiation of their repair/overhaul arrangement with the prime contractor, as validated by and acceptable to the BDE. NAVICP is delegated authority to approve fully-licensed repair/overhaul facilities for CAIs other than CSIs;

(e) authorized dealers or distributors who provide traceability (as defined in enclosure (1)) acceptable to the BDE that the items they are supplying were produced by the prime

contractor or OEM and are unchanged in any way. NAVICP is delegated authority to approve dealers and distributors for CAIs other than CSIs;

(f) sources listed on Qualified Product Lists (QPLs), where the QPL has been coordinated with the BDE, and sources identified on source controlled drawings. Additional quality assurance provisions that may have been established by the BDE for the QPL or source controlled drawing shall be incorporated in contracts; and

(g) alternative sources approved by the cognizant BDE for CSIs and by NAVICP for other than CSIs. Naval Air Depots (NAVAIRDEPOTs) and other organic government facilities are considered alternate sources for production of CAIs (including CSIs) subject to satisfaction of the requirements of this instruction.

(2) When dual use CSIs are purchased from other than FAA certificate holders (Type and Production Approval Holders, Parts Manufacturer Approval Holders, Technical Standard Order Authorization Holders, Certified Repair Stations) or their approved suppliers, or the documentation supporting procurement or repair from one of these sources does not exist or is unavailable, the CSIs are not to be considered FAA approved (references (a) and (t)).

(3) A small number of CSIs used in aviation propulsion and power systems received approval from the Navy Senior Procurement Executive for procurement using other than full and open competition. The specific part numbers covered under this authority are identified in the Class Justification and Approval letters on file in the Propulsion and Power Planning and Operations Office (AIR-4.4C) and in the Major Weapons Systems, Tactical Aircraft and Missiles Contract Department (AIR-2.2). These propulsion CSIs (sometimes referred to as Propulsion Flight Safety Critical Parts) shall only be purchased from the propulsion system prime contractor or the propulsion system prime contractor's licensed manufacturer.

(4) Alternate sources for CSIs shall be revalidated by the BDE to ensure the sources remain capable of delivering satisfactory items if they have not delivered or repaired/overhauled the specific CSI to the DoD within 3 years of an anticipated solicitation. Similarly, alternate sources for CSIs shall be reevaluated if there are concerns regarding product quality, manufacturing process changes, the source moves its manufacturing location, or the source has transferred its manufacturing facilities since the last manufacture. Only the BDE can determine whether reevaluation should be waived or the extent to which reevaluation should be relaxed. For items other than CSIs, the NAVICP shall establish requirements to ensure alternate sources remain capable of delivering acceptable products where there has been an extended lapse in delivery or repair/overhaul for the specific CAI.

(5) Prime contractors and OEMs with design control authority who supply CAIs (including CSIs) to the prime contractor and have current quality systems acceptable to the government normally will not need reevaluation even if they have not delivered or repaired/overhauled the specific CAI within 3 years. However, reevaluation may be considered if there are concerns regarding product quality, manufacturing process changes, the source moves its manufacturing location, or the source has transferred its manufacturing facilities since the last manufacture, or if a new source is being qualified by the prime contractor.

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(6) For CSIs, proposed changes to approved sources' manufacturing processes, methods, controls, manufacturing locations, or manufacturing facilities that were used to demonstrate the approved sources' capabilities shall be reviewed and approved by the BDE prior to accepting delivery of the CSI. Solicitations and contracts for CSIs shall require the contractor to notify the procuring activity through a formal Request for Deviation or Waiver of any such proposed change. For CAIs other than CSIs, NAVICP shall establish procedures to assure the acceptability of changes to processes, methods, controls, manufacturing locations and facilities that potentially affect the acceptability of the item.

(7) Sources for CAIs (including CSIs) approved by other services that have common usage with naval aviation equipment shall be recognized by NAVAIR and NAVICP provided:

(a) the defined item requirements are identical to or greater than requirements needed for naval aviation, as determined by the BDE for CSIs or NAVICP for other than CSIs; and

(b) the source qualification requirements were comparable to or greater than those required by NAVAIR or NAVICP, as determined by the BDE for CSIs or NAVICP for other than CSIs; and

(c) the Navy had the opportunity to review all information that supported the request for approval and all information that supported the determination that the source was acceptable and the BDE concurred in the conclusions for CSIs (NAVICP for other than CSIs); and

(d) the procedural requirements of the other services are comparable to those in this instruction and the BDE and NAVICP has the opportunity to review documentation supporting alternate source reevaluation, proposed changes to AMC/AMSC assignments, changes to design or manufacture, etc.

(8) Unless otherwise authorized by the BDE, offers of surplus CSIs shall only be considered for procurement provided the BDE has approved documentation substantiating the following. NAVICP shall approve substantiating documentation for other than CSIs:

(a) the proposed item was originally manufactured by an approved source at the time of manufacture and the manufacturer's approval for that item has not subsequently been revoked; and

(b) the item is unused; and

(c) the item is not reused, recycled, remanufactured, or reconditioned; and

(d) the surplus item fully conforms to the item technical data requirements (i.e., the item is not discrepant in any way, has not been previously dispositioned as nonconforming by either the prime contractor, the OEM, or the government, etc.); and

(e) the remaining shelf life or other time critical aspects of the item are acceptable to the BDE (for CSIs) or NAVICP (for other than CSIs); and

(f) government required quality assurance inspections will be performed to ensure the surplus item meets the above conditions. All surplus CSIs shall receive 100 percent inspection of all critical characteristics identified on the component drawings or as otherwise identified in the contract. Supplementary quality assurance provisions for CSIs may be provided where verification of critical safety characteristics cannot be performed without degradation of the CSI.

(9) Local purchase of CSIs is prohibited unless justified by unusual and compelling urgency, as described in reference (h). Local purchase of CSIs is not authorized unless approved by the NAVAIR BDE.

(10) Prior to installation of replacement CSIs not drawn from "ready for issue" inventory (e.g., obtained from aircraft recovery sites or other salvage/cannibalization activities), the BDE shall ensure that all required maintenance actions and configuration changes are in conformance with current fleet technical documentation and that applicable acceptance test procedures have been satisfied.

(11) NAVAIRDEPOTS and other government organic facilities are authorized to manufacture CAIs (including CSIs) in accordance with the following:

(a) Alternate Source for Recurring Production: NAVAIRDEPOTS and other government organic facilities are candidates to be alternate sources for routine, repetitive, production lot manufacturing of CAIs (including CSIs) provided they meet all the requirements established for alternate source qualification.

(b) One Time Manufacture of CAIs other than CSIs: NAVAIRDEPOT and other NAVAIR facilities are authorized to manufacture CAIs other than CSIs in limited quantities (one or a few) on a "one-time basis" without undergoing the full alternate source qualification process. The BDE shall confirm:

1. there is an urgent requirement for the item that can't be satisfied by a previously approved source;
2. the technical requirements for the item have been fully established;
3. the resulting items are equivalent to or better than the parts manufactured by the formally approved source(s);
4. the quality and manufacturing attributes are traceable from raw material point of origin to finished goods; and
5. any special testing or data requirements established by the BDE have been satisfied.

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6. When a part produced under the one-time manufacturing authority does not meet original manufacturer requirements or has not been fully tested, the BDE shall establish and ensure publication of applicable operating procedures, restrictions, and limitations as well as applicable maintenance, inspection, tracking, and disposal requirements.

(c) One Time Manufacture of CSIs: NAVAIRDEPOTs and other NAVAIR facilities are authorized to manufacture CSIs in limited quantities on a "one-time basis only when the below conditions are satisfied. Execution of all phases of one-time manufacture processing shall be done on an emergency basis and will be given high priority. Quantities in excess of the immediate need may be manufactured where additional items are necessary for testing (e.g., first article, fatigue strength, other destructive tests, etc) or the economics of production, part usage and production processes indicate this is clearly advantageous to the government. This authority for "one-time manufacture" shall not be used to circumvent alternate source qualification requirements for repeat or routine production. This one-time manufacture requirement does not apply to items produced to support research, development, test, or evaluation. Criteria for authorization of "one-time" manufacture of CSIs is as follows:

1. there is an urgent need for a limited quantity of items to fill an immediate requirement for depot production or fleet operational requirements and no previously approved source (contractor or organic) exists or can deliver the parts within the required time; and

2. the BDE has established the technical requirements (e.g., design requirements, manufacturing processes, testing requirements, inspection requirements, etc) necessary to assure acceptability of the manufactured item, and that the time and expense required to produce and conduct the necessary tests/evaluations supports the decision to manufacture and test the item on a one-time basis; and

3. the items are produced with equivalent or better manufacturing processes, controls, quality, and traceability as parts manufactured by the original, formally qualified equipment manufacturer; and

4. the quality and manufacturing attributes of CSIs produced under this "one-time manufacturing" authority are traceable through formal contemporaneous documentation from point of origin of raw materials to finished goods; and

5. cognizant engineering, quality, and production personnel reviewed the CSI technical data, complete NAVAIRDEPOT (or other cognizant NAVAIR facility as applicable) controls, serial number tracking process, and required tests and inspections to ensure they are current, complete, accurate, and capable of meeting the original manufacturer and/or cognizant AIR-4.0 BDE's requirements; and

6. first article testing is satisfactorily accomplished; and

7. assessments and testing of static and fatigue strength and limitations as well as other tests are conducted, when required by the NAVAIR BDE; and

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8. the cognizant AIR-4.0 BDE, quality, and production personnel have signed their approval that the parts manufactured under this one-time manufacturing authority meet or exceed original manufacturer requirements, that traceability on the item is satisfactory, and that the item is safe for flight and ground operations and does not present a safety hazard to personnel. Enclosure (2) provides example forms for one-time manufacturing approval documents. When a CSI produced under the one-time manufacturing authority does not meet original manufacturer requirements or has not been fully tested, the BDE shall establish and ensure publication of applicable operating procedures, restrictions, and limitations as well as applicable maintenance, inspection, tracking, and disposal requirements.

c. Quality

(1) All Class I Engineering Change Proposals (ECPs) on CAIs (including CSIs) shall be reviewed and approved by the cognizant AIR-4.0 BDE. All Class II ECPs for CSIs shall be approved by the cognizant AIR-4.0 BDE unless otherwise determined by the BDE.

(2) As a rule, only CSIs that fully conform to all characteristics shall be accepted. Exceptions can be made in cases of public exigency. The BDE may delegate to Defense Contract Management Agency (DCMA) approval authority of minor nonconformances to CSIs. NAVICP may delegate approval authority of minor nonconformances for other CAIs. Approval of major and critical nonconformances and Requests for Deviations or Waivers to major and critical characteristics shall not be delegated. Major and critical nonconformances, Requests for Deviations, and Requests for Waivers to major or critical characteristics for all CAIs shall be reviewed, approved, and justified in writing by the cognizant BDE. Exceptions to critical characteristics (i.e., nonconformances, deviations, or waivers) must be approved by the AIR-4.0 Level 2 Department Head or designated representative. Nonconformances to major or critical characteristics for common use items shall be coordinated across the using services.

(3) Rebranding (i.e., remarking or re-labeling) which obscures the marking of the OEM of CAIs (including CSIs) by suppliers is prohibited.

(4) Government Source Inspection (GSI) shall be required for all CSIs unless waived by the BDE and for non-CSIs unless waived by NAVICP. GSI shall include inspection of all critical characteristics identified on the drawing, specification, technical data package, or as otherwise established in the contract. Critical characteristics may be indicated on the drawing by a black star, S/A symbol, flight critical marking, or similar identification. The cognizant Contract Administration Office shall perform quality assurance activities following references (i) and (j). Certificates of Conformance (CoCs) for CSIs in lieu of GSIs are not authorized without BDE approval.

(5) When higher-level quality assurance requirements are required (as prescribed in references (i) and (j)), Quality Assurance Letters of Instruction (QALIs) and/or criteria for the special inspections, process verifications, or similar requirements shall be provided by the BDE to NAVICP.

(6) First Article Test (FAT), Production Lot Testing (PLT), and Product Verification Audits (PVA) shall be incorporated into the contract or organic repair work order when specified in drawings, technical data packages, in response to Source Approval Request (SAR) packages or when otherwise specified by the BDE. The FAT, PLT, or PVA requirement shall not be waived without concurrence of the BDE. As a rule, waiver of FAT or PVA should be considered provided the manufacturer:

- (a) was previously approved for that item;
- (b) has successfully manufactured and delivered the specific CAI (including CSI) within the past 3 years;
- (c) has no unfavorable quality history; and
- (d) has not made any changes to the item, processes, or sub-contractors used to manufacture the item successfully in the past.

(7) Reverse engineering shall be considered only after all other methods for obtaining the part or the necessary technical data have been unsuccessful and significant cost savings can be demonstrated or where mission readiness is severely impacted. Reverse engineering decisions shall be authorized by both the head of the contracting activity and the BDE, following reference (k). Source approval and quality assurance policies established by this instruction shall apply to all reverse engineered CAIs (including CSIs). Coordination among services is required when reverse engineering common use CSIs.

(a) The BDE shall validate that all aspects of the proposed reverse engineered design, materials, critical characteristics, and critical manufacturing processes fully satisfy requirements.

(b) The BDE shall approve and/or conduct all FAT of a reverse engineered CAI (including CSI) the first time an award is made using the reverse engineered design.

(8) CAIs (including CSIs) are candidates for competition or breakout from the prime contractor only when the screening requirements outlined in reference (g) have been considered.

(9) Modifications of CAIs (including CSIs) during installation or repair in order to make the item fit or function are prohibited. CAIs (including CSIs) that need to be modified to make them fit or function properly shall not be installed until the problem has been reported to the cognizant NAVAIR BDE and dispositioned following the established discrepant material review processes.

(10) In the repair/overhaul of naval aviation systems and equipment, only conforming CAIs (including CSIs) purchased from Navy approved sources shall be used. This is regardless of whether the repair/overhaul is performed by the government or a contracted entity.

(11) Product Quality Deficiency Reports (PQDRs) shall be submitted, investigated, tracked, processed, and recorded following reference (l), where deficiencies are identified or

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suspected on CAIs (including CSIs). PQDRs shall be submitted on CAIs (including CSIs) where there is a defect or nonconforming condition detected on new or newly reworked government-owned products, premature equipment failures, or products in use that do not fulfill their expected purpose, operation, or service due to deficiencies in design, specification, material, manufacturing, and workmanship. Deficiencies relating to critical characteristics or those that potentially impact safety shall be classified as Category 1 PQDRs.

(12) Technical Directives (TDs) shall be issued and managed in accordance with references (m) and (p) where an engineering investigation or QDR investigation indicates that action is required to address a deficiency associated with a CAIs (including CSIs). Verification that the Technical Directive has been complied following references (m) and (p).

d. Disposal

(1) When CSIs are no longer required by naval aviation, the CSIs and associated documentation shall be provided to the Defense Reutilization and Marketing Office (DRMO) for disposal.

(2) Prior to disposal, CSIs that are defective, nonconforming, have exceeded their life or time/use critical limits, or for which there is either no documentation or no reliable documentation regarding the manufacture, acquisition, use, modification, repair, or overhaul shall be mutilated.

(3) Only CSIs purchased from FAA certificate holders or removed from FAA certificated aircraft with full documentation supporting FAA approval from original approval (design and production) through maintenance/repair and use shall be considered "dual use FSCAP" for disposal following references (a) and (t).

e. Management and Oversight

(1) Technical data necessary for the design, manufacture, procurement, repair, or overhaul of CAIs (including CSIs) shall be verified and validated by the Navy ESA. The Navy ESA shall ensure that copies of new Technical Data Packages (drawings and associated documentation) are approved prior to provisioning and are submitted to the Naval Air Technical Data and Engineering Service Command (NAVAIRTECHDATAENGSEV) following references (r) and (s), and ensure that revisions to Technical Data Packages (TDP) are validated and approved prior to submission to NAVAIRTECHDATAENGSEV.

(2) NAVICP shall develop, maintain, and distribute or provide access to a current listing of CSIs, which includes the identification of all approved sources (e.g., prime contractors, OEMs, and alternate sources of manufacture, supply, or repair/overhaul subjected to the NAVAIR Alternate Source Qualification process). For CAIs other than CSIs, NAVICP shall establish procedures to ensure proper identification of the CAIs and the acquisition, manufacture, or repair/overhaul from acceptable sources.

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(3) NAVICP shall request cognizant NAVAIR BDE approval on all NAVICP recommended changes affecting CSIs and on all issues involving potential design and configuration changes on CAIs (e.g. Class I ECPs, major or critical waivers or deviations, reverse engineering proposals).

(4) Navy responses to requests for engineering support shall be accurate and every effort shall be made to respond in the time requested. Requestors shall be notified if the requested timeframe cannot be met and will be supplied with an estimated completion date following references (o) and (q).

(5) In the event of concerns regarding specific requests for engineering support that cannot be resolved at the working level in a timely manner, the issue shall be elevated within the respective NAVAIR, NAVICP, and DLA organizations for resolution, with a copy of the issue provided to the Policy and Standards Office (AIR-4.1C). Where further action is required AIR-4.1C shall assist in resolving the issue.

(6) NAVAIR, NAVICP, and DLA shall establish and conduct training programs to ensure personnel involved with CAIs (including CSIs) are fully aware of management responsibilities and requirements.

(7) NAVAIR, NAVICP, and DLA shall jointly conduct annual assessments of the management of CAIs (including CSIs) to confirm that the procedures prescribed by this instruction are followed, to identify and correct nonconforming situations before they become problems to the fleet, and to identify and institute process improvements.

7. Procedures. Detailed procedures for identifying, coding, and managing CAIs (including CSIs) are provided in the references (a) through (t).

8. Responsibilities

a. AIR-4.0 is responsible for the design integrity and operational safety, suitability, and effectiveness of naval aviation systems and equipment. As such, AIR-4.0 is the ESA for all CAIs (including CSIs) and has authority to delegate this responsibility. For the purpose of complying with reference (a), AIR-4.0 is the "Aircraft Airworthiness Authority" and has the authority to delegate this responsibility within AIR-4.0.

(1) The Systems Engineering Department (AIR-4.1) is responsible for overall policies associated with managing CAI (including CSIs).

(a) AIR-4.1C is responsible for developing and managing the policies, processes, training, reviews, and assessments associated with managing CAIs (including CSIs). All appropriate NAVAIR competencies, AIR-4.0 departments, NAVAIR sites, PEOs, NAVICP 07, DLA, and DCMA will be invited to participate in or support the development and management of CAI (including CSI) policies, procedures, training, reviews, and assessments. AIR-4.1C shall establish and lead an annual assessment process to validate compliance with the policies and to identify areas for improvement. AIR-4.1C shall work with the other military services, defense

agencies, non-defense agencies such as the Federal Aviation Administration, and industry to harmonize policies and practices governing CAI (including CSI) management.

(b) The cognizant Assistant Program Manager, Systems and Engineering (APMSE, also known as "Class Desks") shall support NAVAIR engineering efforts (to include funding support, ensuring adequacy of technical documentation, etc.) required to address item criticality and shall ensure sufficient priority is applied to Requests for Engineering Support on CAIs (including CSIs) to ensure timely and accurate responses to NAVICP.

(c) AIR-4.1 at the field sites shall be responsible for managing the CSI processes across the site to include receipt, action, and timely and accurate response to requests for engineering support.

(2) AIR-4.0 Level 2 Department Heads are the Basic Design Engineers for the systems, subsystems, parts, and components within their department's area of responsibility. The BDE responsibility and authority may be delegated to organizations or engineers within their department and located at any NAVAIR location or supporting a naval aviation Integrated Program Team (IPT) or Fleet Support Team (FST). The AIR-4.0 Level 2 Department Heads shall ensure that:

(a) A listing of cognizant BDEs with associated authorities and responsibilities is established and maintained. A copy of the current listing and changes shall be provided to AIR-4.1C and NAVICP;

(b) BDEs, IPT/FST engineers, and other engineering personnel involved with CAIs (including CSIs) are fully aware of and adhere to applicable policies, procedures, and responsibilities;

(c) BDEs are trained and certified to perform the responsibilities of the Navy ESA for CAIs (including CSIs);

(d) Cognizant BDEs have design control responsibility as established by the cognizant AIR-4.0 Level 2 Department Head and the Program Manager;

(e) BDEs properly identify or confirm the criticality and the associated critical characteristics, manufacturing processes, and quality assurance requirements of each CAI (including CSI) when an item is newly introduced into the inventory or whenever there is a proposed change to a CSI, its manufacture, or its supply or repair/overhaul source following reference (o);

(f) Requests for engineering support (including criticality determinations, alternate source qualifications, technical data validation, ECP and deviation or waiver evaluations, etc) are accomplished in a timely, accurate, and effective manner; and

(g) Technical information required for support planning, procurement or repair/overhaul of CAIs (including CSIs) is accurate, necessary, current, and provided to the Logistics

Competency (AIR-3.0) in time for initial supportability analysis and subsequent incorporation in technical documentation.

b. The Assistant Commander for Logistics (AIR-3.0) is responsible for ensuring implementation of this instruction across AIR-3.0.

(1) AIR-3.0 shall ensure that logistics personnel are effectively trained on CAI (including CSIs) responsibilities; and will identify personnel to participate in audits to evaluate the implementation of this instruction.

(2) APMLs shall ensure that CAIs (including CSIs) identified by the APMSE or BDE, and the associated documentation for these items, are effectively coded, acquired, maintained, and managed for applicable equipment. The APML shall ensure CAIs (including CSIs) are clearly identified in the maintenance plan by the correct documentation of the Special Maintenance Item Code (SMIC) as "G", "H", or "J".

(3) AIR-3.0 shall ensure that acquired technical documentation effectively reflects an item's criticality and associated critical characteristics or processes as established by AIR-4.0. AIR-3.0 shall ensure that the technical documentation is maintained and provided to or accessible to organizations responsible for acquiring, maintaining, repairing, or overhauling the items.

c. The Assistant Commander for Industrial Operations (AIR-6.0) is responsible for ensuring the implementation of this instruction by responsible maintenance activities (e.g. NAVAIRDEPOTS, Naval Aviation Pacific Repair Activity (NAPRA), and commercial contractors supporting repair and overhaul).

d. The Commanding Officers of the Naval Air Depots (NAVAIRDEPOTS) are responsible for ensuring compliance with the policies outlined in this instruction.

e. The Naval Aviation Program Executive Officers (PEOs) and NAVAIR Program Management (AIR-1.0) including all PMs shall:

(1) identify current CSIs for their programs and shall provide this information through AIR-4.1C to NAVICP for maintenance of a centralized CSI data file;

(2) assign competency certified cognizant engineers to respond to requests for engineering support on CAIs (including CSIs) in a timely manner;

(3) provide sufficient funding to ensure that all CAI (including CSI) parts are identified sufficiently early enough during the acquisition cycle, or when developing Design Change Notices (DCNs), to provide the required information to impact support planning. When such information was not previously provided, PMs shall fund for developing such information when subsequently needed;

(4) include contractual provisions that require prime contractors to conduct analyses and identify CAIs (including CSIs) and their associated critical/major characteristics and processes prior to provisioning. Contractual provisions shall ensure this information is either distributed to or accessible by the government;

(5) ensure that contracts for acquisition or logistics support include provisions that require the contractor to adhere to the policies of this instruction and that CAIs (including CSIs) are only provided by sources approved by the BDE (or NAVICP as delegated);

(6) ensure that technical documentation delivered to the government for use in repro procurements clearly identifies CSIs and their associated critical characteristics and processes; and

(7) ensure that repair and rework specifications (e.g., Standard Depot Level Maintenance (SDLM), Phased Depot Level Maintenance, and Integrated Maintenance Concept specifications) comply with this instruction.

f. NAVICP shall:

(1) serve as Navy ESA Focal Point for receiving and processing Requests for Engineering Support (DLA-339);

(2) request NAVAIR engineering support for all naval aviation CSI items when NAVICP would recommend changes affecting CSIs or sources for CSIs and on all issues involving potential design and configuration changes on CAIs (e.g. Class I ECPs, major or critical waivers or deviations, reverse engineering proposals);

(3) provide funding for NAVAIR engineering support requested by NAVICP or by DLA through NAVICP, except for those efforts required to support initial provisioning or DCN actions, or sustained engineering;

(4) request NAVAIR BDE determination on the criticality of items not previously determined;

(5) assign the appropriate Acquisition Method Codes (AMCs)/Acquisition Method Suffix Codes (AMSCs) based on the NAVAIR cognizant BDE criticality determination. AMCs and AMSCs are used to instruct the contracting officer on the suitability of an item for competitive procurement following reference (g).

(6) develop, maintain, and distribute or provide access to a current listing of CSIs, which includes the identification of all approved sources (e.g., prime contractors, OEMs, and alternate sources of manufacture, supply, or repair/overhaul subjected to the NAVAIR Alternate Source Qualification process). For CAIs other than CSIs, NAVICP shall establish procedures to ensure proper identification of the CAIs and the acquisition, manufacture, or repair/overhaul from acceptable sources.

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(7) ensure cataloging data and Federal Logistics Information System (FLIS) data for CAIs (including CSIs) they manage are current and accurately reflect criticality determinations;

(8) provide advice, assistance, and recommendations concerning criticality determinations and related issues;

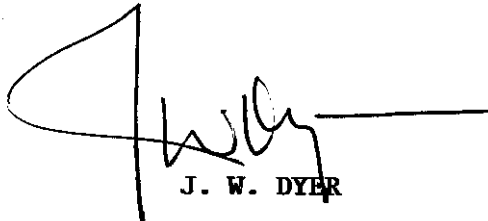
(9) coordinate requests for engineering support for CSI items through the appropriate NAVAIR focal point for engineering support;

(10) perform the engineering support functions identified in reference (o) for non-CSIs; and

(11) support and provide training regarding management of CAIs (including CSIs) and

(12) participate in the annual joint NAVAIR/NAVICP/DLA assessment of CAIs (including CSIs).

9. Review. This instruction will be reviewed annually with recommended changes to the Commander.



J. W. DYER

Distribution:

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DEFINITIONS

Acquisition Method Code (AMC). A single digit numeric code, assigned by a DoD activity, to describe to the contracting officer and other government personnel the results of a technical review of a part and its suitability for breakout.

Acquisition Method Suffix Code (AMSC). A single digit alpha code, assigned by a DoD activity, that provides the contracting officer and other government personnel with engineering, manufacturing, and technical information further describing suitability/non-suitability for breakout.

Actual Manufacturer. An individual, activity, or organization that performs the physical fabrication processes that produce the deliverable part or other items of supply for the government. The actual manufacturer must produce the part in-house. The actual manufacturer may or may not be the design control activity, prime contractor or OEM.

Aircraft Airworthiness Authority. A term used in DoD Regulation 4140.1-R section C6.5 to describe the military organization responsible for determining the safety, suitability, and effectiveness of parts, components, and subsystems used in aviation systems and the prescribed limits of the parts and systems. For the purpose of this instruction AIR-4.0 is the Aircraft Airworthiness Authority. Aircraft Airworthiness Authority is not synonymous with flight clearance authority.

Airworthiness. For the purpose of this instruction, airworthiness is the demonstrated capability of an aircraft or aircraft subsystem or component to function satisfactorily when used within prescribed limits.

Alternate Item. An item other than the approved part number cited in the Acquisition Identification Description (AID). To be approved, the alternate item must be identical to, or be physically, mechanically, electrically, and functionally interchangeable with the product cited in the AID.

Alternate Source. An offer (Government of contractor) from other than the prime contractor or design control activity to provide the identical part numbered item.

Alternate Source Qualification (ASQ). The formal process for requesting, evaluating, and approving the capability of alternate sources to repeatedly and acceptably manufacture or repair/overhaul CAIs (including CSIs).

Authorized Dealer/Distributor. A business entity formally sanctioned by the prime contractor or OEM to buy, sell, and distribute the prime contractor or OEM's products. Authorized dealers/distributors are reviewed, audited, approved, and monitored by the prime contractor or OEM to assure the parts supplied are identical to those originally supplied to them. Parts provided by authorized dealers/distributors carry the same warranty and protections as if the items were purchased directly from the prime contractor or OEM.

Basic Design Engineering. The engineering and quality assurance actions necessary to evolve detail design disclosures for systems, subsystems, equipment, and components exhibiting attributes essential for products to meet specific military requirements. During the operational phase, it includes any engineering activity, the results of which would add to or alter the design of equipment in such a manner, or to such an extent, as to change its operational capabilities or its design attributes of performance, reliability, maintainability and parts interchangeability, or to render it capable of alternative or additional use.

Basic Design Engineer (BDE). The cognizant AIR-4.0 engineer or AIR-4.0 department assigned responsibility and authority to perform and approve the basic design engineering and procurement support for specific parts on a system, subsystem, part or component.

Bulletin. A Technical Directive issued by the Commander, Naval Air Systems Command (COMNAVAIRSYSCOM) that directs a one-time inspection of equipment, contains related instructions, and disseminates administrative or management information as related to maintenance of weapon systems.

Catastrophic Mishap. See Mishap Severity Category I, Catastrophic.

Common Use Item. For the purpose of this instruction, a common use item is a part, assembly, subsystem, or store used in different military aviation systems (e.g., "types") or a part, assembly, subsystem, or store that is unique to a specific aviation system used by multiple Military Services.

Consumable Item. Any item or substance that, upon installation, loses its identity and is normally consumed in use or cannot be economically repaired.

Critical Application Item (CAI). An item that is essential to weapon system performance or operation, or the preservation of life or safety of operating personnel, as determined by the military services. The subset of CAIs whose failure could have catastrophic or critical safety consequences (Category I or II as defined by MIL-STD-882) is called CSIs.

Critical Characteristic. Any feature throughout the life cycle of a Critical Item, such as dimension, tolerance, finish, material or assembly, manufacturing or inspection process, operation, field maintenance, or depot overhaul requirement that if non conforming, missing, or degraded may cause the failure or malfunction of the Critical Item. As used in this instruction, the term "Critical Characteristic" is synonymous with "Critical Safety Characteristic".

Critical Item Code (CIC). A code that identifies items determined to have critical application following DLAR 3200.3. This code identifies items essential to the preservation of life in emergencies or essential to end item or system performance, the failure of which would adversely affect the successful accomplishment of a military operation.

Criticality Code (CC). A codes that indicates that an item has been assessed and documented in the TDP as being technically critical by reason of tolerance, fit restrictions, application, nuclear

hardness properties or characteristics which affects identification of the item. The codes are defined by MIL-PRF-49506

Critical Deviation. See Deviation, Critical.

Critical Mishap. See Severity Category II, Critical.

Critical Safety Characteristic. Any feature, such as tolerance, finish, material composition, manufacturing, assembly or inspection process or product, which if nonconforming or missing could cause the failure or malfunction of the critical safety item. As used in this instruction, the term "Critical Safety Characteristic" is synonymous with "Critical Characteristic".

Critical Safety Item (CSI). A part, assembly, installation, or production system with one or more critical or critical safety characteristics that, if missing or not conforming to the design data, quality requirements, or overhaul and maintenance documentation, would result in an unsafe condition that could cause loss or serious damage to the end item or major components, loss of control, uncommanded engine shutdown, or serious injury or death to personnel. Unsafe conditions relate to hazard severity categories I and II of MIL-STD-882, System Safety Requirements. CSIs are subsets of CAIs and include items determined to be "life-limited", "fracture critical", "fatigue-sensitive", etc. The determining factor in CSIs is the consequence of failure, not the probability that the failure or consequence would occur. For the purpose of this instruction "Critical Safety Item", "Flight Safety Critical Aircraft Part", "Flight Safety Part", and "Flight Safety Critical Part" are synonymous. The term Critical Safety Item shall be the encompassing term used throughout this instruction.

Critical Waiver. See Waiver, Critical.

Dealer. Any business organization that sells, conveys, or otherwise transfers a product (not his own) to another party. The dealer performs no manufacturing or testing and may sell a manufacturer's product without the manufacturer's control or knowledge. Dealers must be able to provide the required product traceability documentation manufacturer.

Defect. Any nonconformance of a unit or product with specified requirements. Defects shall normally be grouped into one or more of the following classes but may be grouped into other classes or subclasses within these classes:

Defect, Critical - a defect that constitutes a hazardous or unsafe condition, or as determined by experience and judgment could conceivably become so, thus making the aircraft, system, or equipment unsafe for flight or endangering operating personnel.

Defect, Major - a defect, other than critical, that could result in failure or materially reduce the usability of the unit or part for its intended purpose.

Defect, Minor - a defect that does not materially reduce the usability of the unit or part for its intended purpose or is a departure from standards but which has no significant bearing on the effective use or operation of the unit or part

Demilitarization. The act of destroying the military offensive or defensive advantages inherent in certain types of equipment or material. The term includes mutilation, dumping at sea, scrapping, melting, burning, or alteration designed to prevent the further use of this equipment and material for its originally intended military or lethal purpose and applies equally to material in unserviceable or serviceable condition that has been screened through an Inventory Control Point and declared excess or foreign excess.

Design Control Activity. A contractor or government activity having responsibility for the design of a given part, and for the preparation and currency of engineering drawings and other technical data for that part. The design control activity may or may not be the OEM. The term design control activity is synonymous with design activity.

Deviation. A written authorization, granted after contract award and prior to the manufacture of the item, to depart from a particular performance or design requirement of a contract, specification, or referenced document, for a specific number of units or a specified period of time. Deviations are intended only as one-time departures from an established configuration for specified items or lots and are not intended to be repeatedly used in place of formal engineering changes.

Deviation, Critical. A deviation is designated as critical when the deviation consists of a departure involving safety or when the configuration documentation defining the requirements for the item classifies defects in requirements and the deviations consist of a departure from a requirement classified as critical.

Deviation, Major. A deviation is designated as major when the deviation consists of a departure involving health, performance, interchangeability, reliability, survivability, maintainability, or durability of the item or its repair parts; effective use or operation; weight; or appearance (when a factor) or when the configuration documentation defining the requirements for the item classifies defects in requirements and deviations consist of a departure from a requirement classified as major.

Deviation, Minor. A deviation is designated as minor when it consists of a departure that does not qualify as critical or major or when the configuration documentation defining the requirements for the item classifies defects in requirements and the deviations consist of a departure from a requirement classified as minor.

Direct Purchase. The acquisition of a part from the OEM, including a prime contractor who is an actual manufacturer of the part.

Disposal. The process of reutilizing, transferring, donating, selling, destroying, or other ultimate disposition of personal property.

Dual Use Product/Part. Any product or part manufactured for civil application by a Production Approval Holder (PAH) authorized by the FAA which is also procured under U. S. military contract. The product or part has the identical part number and configuration as its civil

counterpart; it was manufactured using the same FAA-approved design, materials, and manufacturing processes. These could also include any product (or part thereof) originally produced for the military which currently holds a normal, utility, acrobatic, or transport Type Certificate (TC) issued under section 14 Code of Federal Regulations 21.27

Engineering Change. A change to the current approved configuration documentation of an item at any point in the life cycle of the item.

Engineering Change Proposal (ECP). The documentation by which a proposed engineering change is described, justified, and submitted to a) the cognizant design control authority for approval or disapproval of the design change in the documentation and b) to the procuring activity for approval or disapproval of implementing the design change in units to be delivered or retrofit into assets already delivered.

Engineering Change Proposal, Class I. For the purpose of this instruction, a Class I Engineering Change Proposal is a formally recommended change to an item's configuration that would affect form, fit, function, performance, reliability, maintainability, survivability, weight, balance, moment of inertia, interoperability, interchangeability, or interface characteristics, electromagnetic characteristics, other critical or major characteristics identified in technical documentation, or cost.

Engineering Change Proposal, Class II. For the purpose of this instruction, a Class II Engineering Change Proposal is an ECP that does not meet the requirements for a Class I ECP.

Engineering Critical. A part so crucial that independent malfunction or failure could be catastrophic and result in personal injury or loss of life, jeopardize a military mission, or loss of military weapons system or equipment. Engineering critical parts require special documentation, controls, and testing beyond normal requirements.

Engineering Support. Engineering and technical assistance, including developing, validating and approving technical data, Technical Data Packages (TDPs) and engineering criteria, engineering representation, or providing technical guidance and decisions required in the management of an item or approving sources of manufacture, repair, or overhaul.

Engineering Support Activity (ESA). The military service organization assigned responsibility and authority to perform and approve engineering and quality assurance actions necessary to evolve detail design disclosures for systems, subsystems, equipment, and components exhibiting attributes essential for products to meet specific military requirements. During the operational phase, it includes any engineering activity, the results of which would add to or alter the design of equipment in such a manner, or to such an extent, as to change its operational capabilities or its design attributes of performance, reliability, maintainability and parts interchangeability, or to render it capable of alternative or additional use. For the purpose of this instruction, the ESA is the service's aircraft airworthiness authority. With respect to formal Requests for Engineering Support, the ESA is the military service organization designated as responsible for engineering support and technical decisions for a given part or component in that Service. In the case of multiple recorded users in a Service, there may be more than one ESA.

Engineering Support Activity Focal Point. Entry and exit point for DLA Form 339, Request for Engineering Support, activity within each service. The ESA Focal Point interfaces directly with DLA and ensures DLA Form 339 requests are forwarded to the correct and proper ESA. The ESA Focal Point also provides records and tracks associated timeliness and quality metric data. The ESA Focal Point is identified in DoD 4100.39-M, Vol. 10, Chapter 4, Table 104.

Extended Engineering Effort. A DLA request for engineering support that, upon review by the ESA, requires the use of dedicated resources to work a defined requirement, has an end product clearly specified by DLA, and incurs a one-time negotiated charge

Failure. The event, or inoperable state, in which any item or part of an item does not, or would not, perform as previously specified.

First Article. Pre-production models, initial product samples, test samples, first lot samples or pilot lots used to evaluate full conformance to the specified contract requirements.

First Article Test (FAT). Contractually required testing and inspection of a supplier's pre-production, production, or "production-representative" specimens to evaluate whether the supplier can manufacture fully conforming products prior to the Government's commitment to receive subsequent production items. First Article Testing does not necessarily assess manufacturing processes and controls nor does it assure the effectiveness of a supplier's quality system. First Article Testing is not synonymous with qualification testing.

Fleet Support Team (FST). The IPT assigned the responsibility to perform specified in-service engineering and logistics functions by the PM. The FST ensures in service safety and readiness of assigned systems while reducing the operating and support cost to the Navy. Teams formerly known as Cognizant Field Activity (CFA) and In-Service Support Team (ISST) are currently identified as FST.

Flight Safety Critical Aircraft Part (FSCAP). Any aircraft part, assembly, or installation containing a critical characteristic whose failure, malfunction, or absence may cause a catastrophic failure resulting in loss or serious damage to the aircraft or an uncommanded engine shutdown resulting in an unsafe condition. For the purpose of this instruction "Critical Safety Item", "Flight Safety Critical Aircraft Part", "Flight Safety Part", and "Flight Safety Critical Part" are synonymous. The term Critical Safety Item shall be the encompassing term used throughout this instruction.

Fully Licensed Manufacturer. An actual manufacturer with current, formal authorization by the prime contractor to produce critical items on behalf of the prime contractor. To be fully licensed, the prime contractor must have reviewed and approved the suppliers' manufacturing processes, manufacturing controls, technical documentation, quality and inspection capabilities, and item support practices. Licensing must assure that the prime contractor shall provide technical assistance to the customer, when requested, for parts manufactured by the supplier under the license agreement.

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Fully Licensed Repair/Overhaul Facility. A repair/overhaul facility with current, formal authorization by the prime contractor or OEM to repair/overhaul CAIs (including CSIs) on behalf of the prime contractor. To be a fully licensed repair/overhaul facility, the prime contractor must have reviewed and approved the facility's repair/overhaul processes and controls, technical documentation, quality and inspection capabilities, and item support practices. Licensing must assure that the prime contractor shall provide technical assistance to the customer, when requested, for items, equipment, or systems repaired/overhauled by the facility under the license agreement.

Hazard. Any real or potential condition that can cause injury, illness, or death to personnel; damage to or loss of a system, equipment, or property; or damage to the environment.

Integrated Material Manager (IMM). Any DoD activity or agency that has been assigned wholesale integrated material management responsibility for the DoD and participating federal agencies. IMM responsibilities include cataloging, requirements determination, procurement, distribution, overhaul, repair and disposal of materiel.

Life Support Item. All man-mounted or aircraft installed equipment and components designed to protect, sustain, or save human lives are categorized as life support. This includes, but is not limited to, ejection systems, crew seats, passenger seats, emergency escape slides, parachutes, life rafts and preservers, survival kits, emergency radios and beacons, aircrew helmets, oxygen masks, goggles, visors, chemical defense equipment, and selected clothing and uniform items.

Local Purchase. The direct purchase of an item covered by the DoD Coordinated Acquisition Program (DFARS 208.70) by other than the organization assigned Coordinated Acquisition Program contracting responsibility or Integrated Material Management responsibility (as established in DoD 4140.26-M).

Major Characteristic. A characteristic that analysis indicates is not critical but is likely, if defective, to result in failure of the end item to perform a required mission.

Major Deviation. See Deviation, Major

Major Waiver. See Waiver, Major.

Material Review Board (MRB). The formal contractor-government board established for the purpose of reviewing, evaluating, and disposing of specific nonconforming supplies or services, and for assuring the initiation and accomplishment of corrective action to preclude reoccurrence.

Military Unique FSCAP. Any FSCAP specifically and uniquely designed and manufactured for the U.S. military, for which there is no corresponding FAA-approved type design or PAH engine, propeller or part produced for civil application. "Breakout" products or parts, produced specifically for military use by a manufacturer other than an FAA PAH using military-provided designs/drawings and specifications, are also considered military unique.

Minor Deviation. See Deviation, Minor

Minor Waiver. See Waiver, Minor

Mishap. An unplanned event or series of events resulting in death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment.

Mishap Risk. An expression of the impact and possibility of a mishap in terms of potential mishap severity and probability of occurrence.

Mishap Severity. An assessment of the consequences of the most reasonable credible mishap that could be caused by a specific hazard.

Mishap Severity Category I, Catastrophic. A mishap that could result in death, permanent total disability, loss exceeding \$1M, or irreversible severe environmental damage that violates law or regulation.

Mishap Severity Category II, Critical. A mishap that could result in permanent partial disability, injuries, or occupational illness that may result in hospitalization of at least three personnel, loss exceeding \$200K but less than \$1M, or reversible environmental damage causing a violation of law or regulation.

Modification. For the purpose of this instruction, any alteration, addition, or removal of aircraft or aircraft engine structure, components, equipment, computer software, or primary instrumentation. Routine maintenance is excepted from this definition

Mutilation. The act of making material unfit for its originally intended purposes by cutting, tearing, scratching, crushing, breaking, punching, shearing, burning, neutralizing, etc. A form of demilitarization.

Naval Air Systems Command (NAVAIR). Includes Naval Air Systems Command Headquarters (NAVAIRHQ), Naval Air Warfare Centers (NAVAIRWARCEN), NAVAIRDEPOTS, Naval Air Pacific Repair Activity (NAPRA), Naval Air Mediterranean Repair Activity (NAMRA), and NAVAIRTECHDATAENGSEV.

Nonconformance. The failure of an item to meet a defined characteristic or process.

Nonconformance, Critical. A nonconformance that is likely to result in hazardous or unsafe conditions for individuals using, maintaining, or depending upon the supplies or services or one that is likely to prevent performance of a vital agency mission. Critical nonconformance includes departures from specified requirements in any critical characteristic or process or departures from unspecified requirements where the consequences would be catastrophic or critical.

Nonconformance, Major. A nonconformance other than critical that is likely to result in failure or to materially reduce the usability of the supplies or services for their intended purpose. Major nonconformance involve items, which depart from contract requirements and typically affect one

or more of the following major areas: performance, durability, interchangeability, effective use or operations, weight or appearance (where a factor), health or safety.

Nonconformance, Minor. A nonconformance that is not likely to materially reduce the usability of the supplies or services for their intended purpose, or is a departure from established standards having little bearing on the effective use or operation of the supplies or services. Minor nonconformance are departures from contract requirements and do not affect any of the criteria specified as major nonconformance.

One-Time Manufacture. A limited quantity of material which is used to fill an immediate requirement to support Naval Aviation Depot production demands and/or fleet operating forces, to be manufactured locally only after concerted efforts to expedite requirements from other sources have failed.

Original Equipment Manufacturer (OEM). For the purpose of this instruction an OEM is the individual, activity, or organization that performs the physical fabrication processes that produce the deliverable part or other items of supply for the prime contractor. The OEM must produce the part in-house. The OEM may or may not be the design control activity.

Overhaul. The process of disassembly sufficient to inspect all the operating components and the basic end article. It includes the repair, replacement, or servicing as necessary, followed by the reassembly and bench check or flight test. Upon completion of the overhaul process, the component or end article will be capable of performing its intended service life or service tour.

Prescribed Limits. For the purpose of this instruction, the full authorized range or envelope of operating, environmental, and sustaining criteria or characteristics for the safe and reliable use of the aircraft system, subsystem, or associated equipment as determined by analysis, tests, and operating experiences.

Prime Contractor. A contractor having responsibility for design control and/or delivery of a system/equipment such as aircraft, engines, ships, tanks, vehicles, guns and missiles, ground communications and electronics systems, and test equipment.

Product Verification Audit (PVA). The physical examination, functional testing, disassembly, inspection, re-assembly and re-setting of an item so that full determination of conformance to specifications can be verified.

Production Lot Testing (PLT). Tests and examinations performed on items randomly selected from a contract, production line, or inventory to verify the items fully conform to all applicable requirements and are suitable for use. Product Lot Testing may be performed by the Government, at a Government designated testing laboratory, or by the contractor as established in the contract.

Propulsion CSI (also known as Propulsion Flight Safety Critical Parts). A subset of CSIs specifically associated with propulsion and power systems for which the technical risk associated with alternate source qualification has been deemed unacceptable and for which purchase from

only the Prime Contractor for the propulsion system or their licensed vendor has been authorized by the Service Acquisition Executive under a Justification and Approval (J&A). Failure of any of these components would not be contained and would jeopardize the lives of aircrew and mean potential loss of the weapon system. Propulsion parts covered by this J&A satisfy the following criteria:

- a. component failure would result in death or weapon system loss or failure results in a non-recoverable in-flight shutdown rate of .5 per 1,000,000 engine flying hours; and
- b. component is highly stressed, and
- c. component contains critical characteristics which cannot be fully inspected by nondestructive inspection, and
- d. component failure mode is fatigue and/or stress corrosion; and
- e. component is fabricated high strength steel, titanium, high temperature nickel, or cobalt alloys.

Provisioning. The process of doing the technical planning necessary to establish the item support plan, piece by piece and assembly by assembly; establishing the minimum levels or echelons responsible for repair/overhaul; identifying the kind and type of Support Equipment requirements, handbooks, manuals, and other maintenance publications; determining the basic factory and field training requirements; and providing for the establishment of inventory management records.

Qualified Product List (QPL). A list of products that have met the qualification requirements stated in the applicable military, federal or non-government specification, including appropriate product identification and test or qualification reference with the name and plant address of the manufacturer and distributor, as applicable.

Re-Branding. The re-marking, re-labeling, or re-packaging, of an item with a distributor's own product identification as opposed to that of the actual manufacturer.

Repair. Necessary preparation, fault correction, disassembly, inspection, replacement of parts, adjustment, reassembly, calibration, or tests accomplished in restoring items to serviceable status.

Repairable Item. A durable item which, when unserviceable, can be economically restored to a serviceable condition through regular repair procedures

Replenishment Part. A repairable or consumable part purchased after provisioning for replacement; replenishment of stock; or use in the maintenance, overhaul, and repair of equipment such as aircraft, engines, ships, tanks, vehicles, guns and missiles, ground communications and electronic systems, ground support, and test equipment. As used in this instruction "part" includes subassemblies, components, and subsystems.

Reverse Engineering. The process by which serviceable parts are examined, analyzed, and tested to determine precisely from what materials they are made and how they were manufactured in order to enable manufacture of parts that exactly duplicate the examined parts. The expected result of reverse engineering is a complete Technical Data Package, including design and manufacturing data, verification requirements, and the associated qualification and proofing requirements suitable for reprourement of the item by new sources.

Safety. Freedom from those conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment.

Shelf-Life Item. An item of supply possessing deteriorative or unstable characteristics to the degree that a storage time period or condition(s) must be assigned to assure that it shall perform satisfactorily in service.

Source Approval Request (SAR). A vendor proposal, supplemented by data from NAVICP that includes all of the technical data required for a competent manufacturer to manufacture a critical safety item to a level of quality that is equal or better than the OEM part.

Source Control Drawing. A drawing that provides an engineering description and acceptance criteria for purchased items that also establishes design activity imposed qualification testing and provides performance, installation and interchangeability specific characteristics required for critical applications. It includes a list of approved manufacturers, the manufacturers' item identifications, and acceptance criteria for items, which are interchangeable in specific applications. The source control drawing establishes item identification for the controlled item(s). The approved items and sources listed on a source control drawing are the only acceptable items and sources.

Special Maintenance Item Code (SMIC). Codes which indicates any special maintenance category applicable to the item. The codes are defined by MIL-PRF-49506.

Stores. For the purpose of this instruction, any device intended for internal or external carriage, mounted on aircraft suspension and release equipment, and which may or may not be intended to be separated in flight from the aircraft. Stores include missiles, rockets, bombs, nuclear weapons, mines, fuel and spray tanks, torpedoes, detachable fuel and spray tanks, dispensers, pods, targets, chaff and flares including external dispensing equipment, and suspension equipment (racks, pylons).

Surplus Material. Material that was originally purchased and accepted by the U.S. Government and subsequently sold or disposed of by the Defense Reutilization and Marketing Service (DRMS).

Technical Data. Data required for the accomplishment of logistics and engineering processes in support of the contract end item. It includes drawings, operating and maintenance instructions, provisioning information, specifications, inspection and test procedures, instruction cards and equipment placards, engineering and support analysis data, special purpose computer programs,

and other forms of audiovisual presentation required to guide personnel in the performance of operating and support tasks.

Technical Data Package. A technical description of an item adequate for supporting an acquisition strategy, production, engineering and logistics support. The description defines the required design configuration and procedures required to ensure adequacy of item performance. It consists of all applicable technical data such as drawings and associated lists, specifications, standards, performance standards, quality assurance requirements, software and packaging details.

Technical Directive. A document authorized and issued by the Commander, Naval Air Systems Command to provide the technical information necessary to properly and systematically inspect or alter the configuration of aircraft, engines, systems, or equipment subsequent to establishment of each respective baseline configuration. Technical Directives include all types of changes and bulletins and consist of information that cannot be disseminated satisfactorily by revisions to technical manuals.

Technical Manual. A publication containing a description of equipment, weapons, or weapon system(s) with instructions for effective use. Included are one or more of the following sections: instructions covering initial preparation for use, operational instructions, modification instructions, maintenance instructions, parts lists or parts breakdown, and related technical information or procedures, exclusive of those of an administrative.

Traceability. Documented evidence that the item to be supplied was/will be manufactured and/or maintained by the prime contractor, approved manufacturer, or FAA certificate holder is identical to the product that was initially manufactured, and is in full compliance with all specifications, drawings, storage, packaging, and handling requirements, and other associated requirements. For CSIs, additional documentation is required to demonstrate, to the government's satisfaction, the Government's ability to obtain all information necessary to trace the items back through the manufacturing process in the event of the item failure. The manufacturing process information includes, date and place of actual manufacturing and additional information as appropriate, such as verification of all aspects of material, manufacture, special processes, personnel certifications, assembly, inspection, installation, and repair.

Value Added. Additional services or support provided by the prime contractor on CAIs (including CSIs) to ensure items purchased from OEMs or items repaired/overhauled from support facilities fully satisfy operational requirements for the designed service life of the component.

Waiver. A written authorization granted after contract award to accept an item, that during production, or after having been submitted for inspection or acceptance, is found to depart from contract or specified configuration requirements. Waivers are intended only as one-time departures from an established configuration for specified items or lots and are not intended to be repeatedly used in place of formal engineering changes.

Waiver, Critical. A waiver shall be designated as critical when the waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation involving safety or when the configuration documentation defining the requirements for the item classifies defects in requirements and waivers consist of a departure from a requirement classified as critical.

Waiver, Major. A waiver shall be designated as major when the waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation requirements involving health, performance, interchangeability, reliability, survivability or maintainability of the item or its repair parts, effective use or operation, weight, or appearance (when a factor) or when the configuration documentation defining the requirements for the item classifies defects in requirements and the waivers consist of a departure from a requirement classified as major.

Waiver, Minor. A waiver shall be designated as minor when the waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation which does not involve any of the factors of a critical or major waiver or when the configuration documentation defining the requirements for the item classifies defects in requirements and the waivers consist of a departure from a requirement classified as minor.

Wholesale. The highest level of organized DoD supply, and as such, procures, repairs, and maintains stocks to resupply the retail levels of supply.

20 Jun 02

Sample
For One Time Manufacturing Approval

AIRWORTHINESS CERTIFICATION
ONE-TIME MANUFACTURED CRITICAL SAFETY ITEM

COMPONENT PART NUMBER _____

NOMENCLATURE _____

PROCESS PLAN NUMBER _____

QUANTITY PRODUCED _____ SERIAL NUMBER(S) _____

DIRECTOR OF RESOURCES FOR MATERIAL

Director of Resources for Material certifies correctness of NSN/purchased critical safety item sub-components.

DIRECTOR _____ DATE _____
Signature_____
Printed Name CODE _____

The responsible Research and Engineering Department Head signature certifies airworthiness of this component/ part.

PRODUCTION HEAD _____ DATE _____
Signature_____
Printed Name CODE _____QUALITY HEAD _____ DATE _____
Signature_____
Printed Name CODE _____COGNIZANT ENGINEER _____ DATE _____
Signature_____
Printed Name CODE _____RESEARCH AND ENGINEERING
LEVEL 2 DEPARTMENT HEAD _____ DATE _____
Signature_____
Printed Name CODE _____

20 Jun 02

Sample
For One Time Manufacturing Approval

USE AND INSTALLATION AUTHORIZATION
OF MANUFACTURED CRITICAL SAFETY ITEM

COMPONENT PART NUMBER _____

NOMENCLATURE _____

DRAWING NUMBER AND REVISION _____

DRAWING CAGE _____

END ITEM (e.g. H-53, F-404, etc.) _____

PROCESS PLAN NUMBER _____

PROCESS
PLANNER_____
Print Name_____
Signature_____
DateQUALITY
ORGANIZATION
HEAD_____
Print Name_____
Signature_____
DateMANUFACTURING
HEAD_____
Print Name_____
Signature_____
DateSYSTEM
SAFETY
ENGINEER_____
Print Name_____
Signature_____
DateCOGNIZANT
ENGINEER_____
Print Name_____
Signature_____
Date

Sample
For One-Time Manufacturing Approval

VERIFICATION OF NSN/PURCHASED MATERIAL
FOR MANUFACTURED CRITICAL SAFETY ITEM

MATERIAL PART NUMBER _____

MATERIAL NAVY STOCK NUMBER _____

THE ABOVE MATERIAL IS VERIFIED TO BE ACCURATE AS ORDERED

MATERIAL SHIPPING / RECEIVING SECTION ()

NIF STORE SECTION ()

PRODUCTION SHOP SUPPORT CENTER ()

LAB ANALYSIS REPORT NUMBER _____

SIGNATURE _____ DATE _____

PRINTED NAME _____ CODE _____

MATERIAL
ENGINEER _____
Print Name Signature Date

THE ABOVE MATERIAL IS VERIFIED RECEIVED AS ORDERED AND STORED

AT: _____
Location

UNTIL READY FOR ASSEMBLY.

SIGNATURE _____ DATE _____

PRINTED NAME _____ CODE _____

